

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No. : 10/817,590 Confirmation No. : 4928
First Applicant : Linda Zhong et al. Art Unit : 2831
Filed : April 2, 2004 Examiner : HA, Nguyen T.
Title : Dry Particle Based Capacitor and Methods of Making Same
Docket No. : 356-014-USP
Customer No. : 59542

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT
PURSUANT TO 37 C.F.R. §§ 1.56, 1.97, AND 1.98**

Sir:

The Examiner is respectfully requested to consider the patents, patent applications, publications, or other information cataloged on the enclosed Form PTO/SB/08a during examination of the above-identified patent application. The order of presentation of the references should not be construed as an indication of importance. These references are submitted for the Examiner's consideration and are submitted pursuant to an Applicant's duty of disclosure under 37 C.F.R. § 1.56.

Copies of all of the cited documents

☐ are enclosed unless otherwise indicated on the enclosed Form PTO/SB/08a.

☐ have been previously furnished to the Office in prior application No. _____, filed _____, which the present application relies upon for an earlier effective filing date under 35 U.S.C. § 120. Therefore, no copies of the cited documents are included herewith pursuant to 37 C.F.R. § 1.98(d); MPEP § 609(III)(A)(2).

☒ are enclosed unless they are U.S. patents or U.S. patent application publications pursuant to 37 C.F.R. § 1.98(a).

The Examiner is also directed to the following related co-pending applications:

U.S. Application Serial No.	Filing Date	First Named Inventor
10/817,074	04-02-2004	Porter Mitchell
10/817,589	04-02-2004	Linda Zhong
10/817,590	04-02-2004	Linda Zhong
10/817,700	04-02-2004	Porter Mitchell
10/817,701	04-02-2004	Porter Mitchell
10/817,702	04-02-2004	Xiaomei Xi
10/900,630	07-28-2004	Porter Mitchell
10/900,824	07-28-2004	Porter Mitchell
10/916,936	08-12-2004	Porter Mitchell
10/974,091	10-27-2004	Porter Mitchell
11/116,882	04-27-2005	Porter Mitchell
11/176,137	07-06-2005	Linda Zhong
11/251,174	10-14-2005	Bin Zou
11/251,175	10-14-2005	Porter Mitchell
11/251,388	10-14-2005	Porter Mitchell
11/251,390	10-14-2005	Linda Zhong
11/251,408	10-14-2005	Porter Mitchell
11/251,454	10-14-2005	Porter Mitchell
11/251,512	10-14-2005	[unknown]
11/487,914	07-17-2006	Porter Mitchell

I BASIS

This information disclosure statement is filed pursuant to

- ☐ 37 C.F.R. § 1.97(b).
This information disclosure statement is filed either (1) within three months of the filing date of a national application other than a continued prosecution application under 37 C.F.R. § 1.53(d); (2) within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application; (3) before the mailing date of a first Office action on the merits; or (4) before the mailing of a first Office action after the filing of a request for continued examination under 37 C.F.R. § 1.114, whichever event occurs last.

Accordingly, this information disclosure statement requires no fee and no certification.

- ☒ 37 C.F.R. § 1.97(c).
This information disclosure statement is filed after the period specified in 37 C.F.R. § 1.97(b), but before the mailing date of any of (1) a final action under 37 C.F.R. § 1.113; (2) a notice of allowance under 37 C.F.R. § 1.311; or (3) an action that otherwise closes prosecution in the application.

Accordingly, this information disclosure statement requires either the fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c), or a statement under 37 C.F.R. § 1.97(e).

- ☐ 37 C.F.R. § 1.97(d).
This information disclosure statement is filed after the period specified in 37 C.F.R. § 1.97(c) since a

☐ final action under 37 C.F.R. § 1.113

☐ notice of allowance under 37 C.F.R. § 1.311

was mailed to the Applicant(s) on _____. The issue fee has not been paid herein.

Accordingly, this information disclosure statement requires the fee set forth in 37 C.F.R. § 1.17(p) to consider an information disclosure statement under 37 C.F.R. § 1.97(d), and a statement under 37 C.F.R. § 1.97(e).

If this statement crosses in the mail with an Office action, or is otherwise not in the indicated category of 37 C.F.R. § 1.97, it is respectfully requested that this statement be treated in the next appropriate category and made of record. To the extent required, please treat this paper as a conditional petition for acceptance of the information disclosure statement.

II FEES

Any required fee is being paid as indicated below by an enclosed check or our deposit account.

- ☐ No fee is due.
- ☒ The \$180.00 fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.197(c) or (d) is due.
- ☐ A check is enclosed for the required fee.
- ☒ Please charge the required fee to our deposit account no. 503199. A duplicate copy of this information disclosure statement is enclosed.
- ☒ The Commissioner is hereby authorized to charge any additional required fees or credit any overpayments associated with this information disclosure statement to our deposit account no. 503199. A duplicate copy of this information disclosure statement is enclosed.

III CERTIFICATION

Pursuant to 37 C.F.R. § 1.97(e), I state as follows:

- ☒ No statement is necessary.
- ☐ Each item of information contained in this information disclosure statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement. 37 C.F.R. § 1.97(e)(1).
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making reasonable inquiry, no item of information contained in this information disclosure statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this information disclosure statement. 37 C.F.R. § 1.97(e)(2).

Pursuant to 37 C.F.R. § 1.704(d), I state as follows:

- ☐ Each item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart application, and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this information disclosure statement.

IV FOREIGN LANGUAGE REFERENCES

Pursuant to 37 C.F.R. § 1.98(a)(3)(i), any information disclosure statement filed under 37 C.F.R. § 1.97 shall include a concise explanation of the relevance, as it is presently understood by the individual designated in § 1.56(c) most knowledgeable about the content of the information, of each patent, publication, or other information listed that is not in the English language. The concise explanation may be either separate from the specification or incorporated therein. In compliance with the rules, the Applicant(s) state as follows:

- ☐ No concise explanation is required since all cited references are in English.
- ☒ A concise explanation of the relevance of one or more foreign language references is attached.

The Bloch et al. reference (EP publication no. 1009058 A1) was cited by an examiner in Applicant's co-pending application number 10/817,074. The translation of the Abstract provided to Applicants by the USPTO is also included.

The Morimoto et al. reference (Japan publication no. 01241811A) was cited by an examiner in Applicant's co-pending application number 11/178,192. The translation of the Abstract provided to Applicants by the USPTO is also included.

The Hara et al. reference (Japan publication no. 09183604A) was cited by an examiner in Applicant's co-pending application number 11/178,192. The translation of the Abstract provided to Applicants by the USPTO is also included.

The Kiyoaki et al. reference (Japan publication no. 04088619) was cited by an examiner in Applicant's co-pending application number 10/817,074. Applicant has provided the USPTO with an English translation of the abstract.

The Koji reference (Japanese publication no. 04067610) was asserted in a rejection of Applicant's claims in a related co-pending application (U.S. application number 10/817,074). Applicant has provided the USPTO with an English translation of the abstract.

- ☐ According to the procedural policy adopted by the PTO with regard to disclosure requirements, the Applicant is satisfying the disclosure requirement pursuant to MPEP § 609(III)(A)(3) by submitting herewith the following:
- ☐ English language versions of any non-English language documents.
- ☐ English language versions of one or more search reports or other actions by one or more foreign patent offices in one or more counterpart foreign applications, which indicate the degree of relevance found by the foreign office(s).

The Applicant has not analyzed these documents and, therefore, declines to comment on their relevance at this time.

- ☒ One or more English language abstracts for the non-English language references are also enclosed.

**V
REMARKS**

It is respectfully requested that

- (1) the Examiner sign the enclosed Form PTO/SB/08a to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application; and
- (2) the citations for the cited information be printed on any patent that issues from this application.

The submission of this information disclosure statement by the Applicant(s) shall not be construed as a representation that a search has been performed or that no other material information under 37 C.F.R. § 1.56 exists. See 37 C.F.R. § 1.97(g).

The submission of this information disclosure statement by the Applicant(s) shall not be construed as an admission that any information cited or referred to herein is, or is considered to be, material to the patentability of one or more of the pending claims in this application pursuant to 37 C.F.R. § 1.56(b), unless specifically designated by the Applicant(s) as such. See 37 C.F.R. § 1.97(h).

The submission of this information disclosure statement by the Applicant(s) shall not be construed as an admission that any information cited or referred to herein is, or is considered to be, or even qualifies as “prior art” under 35 U.S.C. § 102 with respect to this invention, unless specifically designated by the Applicant(s) as such.

Notwithstanding any statements by the Applicant(s), the Examiner is urged to form his or her own conclusion regarding the relevance of the cited information.

**VI
CONCLUSION**

The Examiner is encouraged to contact the undersigned attorney to discuss any questions concerning this information disclosure statement or any of the information cited or referred to herein.

Respectfully submitted this 11th day of January 2007.

/Thomas J. Osborne, Jr./

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